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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/809,776	03/25/2004	Barry Scott Hurewitz	040002	7021

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EXAMINER

ULRICH, NICHOLAS S

ART UNIT	PAPER NUMBER
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2173

SHORTENED STATUTORY PERIOD OF RESPONSE	MAIL DATE	DELIVERY MODE
3 MONTHS	03/30/2007	PAPER

Please find below and/or attached an Office communication concerning this application or proceeding.

If NO period for reply is specified above, the maximum statutory period will apply and will expire 6 MONTHS from the mailing date of this communication.

Office Action Summary	Application No. 10/809,776	Applicant(s) HUREWITZ ET AL.	
	Examiner Nicholas S. Ulrich	Art Unit 2173	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 24 March 2004.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-45 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-12, 14-30, 32-43, and 45 is/are rejected.
- 7) ☒ Claim(s) 13,31 and 44 is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 30 June 2004 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
 2. ☐ Certified copies of the priority documents have been received in Application No. _____.
 3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- * See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)
Paper No(s)/Mail Date <u>6/25/2004</u> . | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

1. Claims 1-45 are pending
2. The information disclosure statement filed 6/25/2004 has been considered by the examiner.

Claim Rejections - 35 USC § 102

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless --

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

3. Claim 1-4, 12, 19-22, 30, 32-35, 43, and 45 are rejected under 35 U.S.C. 102(e) as being anticipated by Hazel (US 7188317 B1).

In regard to **claim 1**, Hazel discloses an interactive user interface, comprising:

a first field listing a focal item (*Column 2 lines 22-24: The scope window displays objects. Objects selected in the scope window is considered the focal item*);

and at least one additional field containing a listing of items related to the focal item, wherein certain of the related items include a hyperlink which, when activated by the user, causes the item corresponding to the activated hyperlink to become a new focal item listed in the first field, such that the at least one additional field transitions to

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list items related to the new focal item (*Column 1 lines 45-49, Column 2 lines 24-29 and Column 9 lines 53-60: Hazel discusses displaying two windows that are related to the focal item. Hazel discusses selecting an object within a child window and changing focus to the child within the scope window. It is inherent through the disclosure that the other windows will transition to display information relating to the new focus item because the invention must maintain the relationship between the windows*)

In regard to **claim 2**, Hazel discloses wherein certain of the related items in the additional field include indicia of the relation to the focal item (*Fig 3 and Column 9 line 4: The second window shows "children of hmdemo" and is labeled as such*).

In regard to **claim 3**, Hazel discloses a focal item input field in which the user may input an identifier for a new focal item (*Column 2 lines 58-65: The user can select the focal item from a list of potential focal items. Therefore there is provided an input field for selecting the focal item*).

In regard to **claims 4, 22, and 35**, Hazel discloses wherein the indicia includes at least one of a graphical representation and a color-coded representation of the relation to the focal item (*Fig 3*)

In regard to **claims 12, 30, and 43**, Hazel disclose an associated mouseover (*Column 14 Tool Tip Support*)

In regard to **claim 19**, Hazel discloses a system for providing an interactive user interface to a user, the system comprising:

a server for serving a document containing the interactive user interface via a network to the user, the interactive user interface including (*Column 4 line 56 – Column 5 line 16*):

a first field listing a focal item (*Column 2 lines 22-24: The scope window displays objects. Objects selected in the scope window are considered the focal item*);

and at least one additional field containing a listing of items related to the focal item, wherein certain of the related items include a hyperlink which, when activated by the user, causes the item corresponding to the activated hyperlink to become a new focal item listed in the first field, such that the at least one additional field transitions to list items related to the new focal item (*Column 1 lines 45-49, Column 2 lines 24-29 and Column 9 lines 53-60: Hazel discusses displaying two windows that are related to the focal item. Hazel discusses selecting an object within a child window and changing focus to the child within the scope window. It is inherent through the disclosure that the other windows will transition to display information relating to the new focus item because the invention must maintain the relationship between the windows*);

and a database in communication with the server for storing data about the items (*Column 10 lines 20-21: retrieved from a database*)

In regard to **claim 20**, Hazel discloses an alert engine in communication with the database for sending an alert message via the network to the user (*Column 11 lines 14-19*).

In regard to **claim 21**, Hazel discloses wherein certain of the related items in the additional field include indicia of the relation to the focal item (*Fig 3 and Column 9 line 4: The second window shows "children of hmdemo" and is labeled as such*).

In regard to **claim 32**, Hazel discloses a focal item input field in which the user may input an identifier for a new focal item (*Column 2 lines 58-65: The user can select the focal item from a list of potential focal items. Therefore there is provided an input field for selecting the focal item*).

In regard to **claim 33**, Method claim 33 corresponds generally to system claim 1, respectively, and recite similar features in Method form, and therefore is rejected under the same rationale.

In regard to **claim 34**, Hazel discloses wherein certain of the related items in the additional field include indicia of the relation to the focal item (*Fig 3 and Column 9 line 4: The second window shows "children of hmdemo" and is labeled as such*).

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In regard to **claim 45**, Hazel discloses a focal item input field in which the user may input an identifier for a new focal item (*Column 2 lines 58-65: The user can select the focal item from a list of potential focal items. Therefore there is provided an input field for selecting the focal item*).

Claim Rejections - 35 USC § 103

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

4. Claims 5, 6, 7, 8, 9, 10, 11, 14, 15, 16, 17, 18, 23, 24, 25, 26, 27, 28, 29, 36, 37, 38, 39, 40, 41, and 42, are rejected under 35 U.S.C. 103(a) as being unpatentable over Hazel (US 7188317 B1) in view of Baker et al (US 6338067 B1).

In regard to **claims 5, 7, 9, 11, 14, 23, 25, 27, 29, 36, 38, 40, and 42** Hazel discloses a GUI for use with a database for presenting information to a user based on relationships within the data contained in a database (*Column 10 lines 19-40*) and having three windows with data relating to a focal item (*Column 7 line 60 to Column 8 line 2*).

Hazel fails to disclose "the focal item includes an identifier for a company", "the listing of related items in a first additional field includes a listing of items identifying companies that are a supplier to the focal item", "the listing of related items in a second additional field includes a listing of items identifying companies that are a customer of the focal item", and "the listing of related items in a third additional field includes a listing of items identifying companies that are competitors of the focal item".

However, Baker discloses an investment analysis database that contains information about companies and their related customer, supplier and competitor companies (*Column 12 lines 48-59 and Abstract: when listing all companies that are customers of company A, company A would be designated as the focal point and then a related window would show companies that are customers of company A. Same follows for listing suppliers and competitors. The database defines the relationships between companies and Hazel invention would be used to display those relationships in a user-friendly manner*)

It would have been obvious to one of ordinary skill in the art at the time the invention was made to incorporate the teachings of Baker to Hazel's invention because one of ordinary skill in the art would be motivated to provide a user interface for displaying relationships between companies for an investment analysis. The motivation is provided by Hazel because he describes the use of his user interface for displaying relationships found within a database.

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In regard to **claims 6, 24, and 37**, Baker further discloses wherein the focal item includes the stock trading ticker symbol of the company (*Column 8 lines 46-48: The company record includes ticker symbol fields*). It would have been obvious at the time of the invention to use ticker symbols to identify companies because a investor can better identify companies of interest.

In regard to **claims 8, 10, 26, 28, 39, and 41**, Baker further teaches the listing of related items in the first additional field includes a listing of items identifying companies that receive a threshold percentage of their revenue (*Column 8 lines 32-42*)

In regard to **claim 15**, Hazel disclose an associated mouseover (*Column 14 Tool Tip Support*)

In regard to **claim 16**, Hazel discloses wherein certain of the related items in the additional field include indicia of the relation to the focal item (*Fig 3 and Column 9 line 4: The second window shows "children of hmdemo" and is labeled as such*).

In regard to **claim 17**, Hazel discloses wherein the indicia includes at least one of a graphical representation and a color-coded representation of the relation to the focal item (*Fig 3*)

In regard to **claim 18**, Hazel discloses a focal item input field in which the user may input an identifier for a new focal item (*Column 2 lines 58-65: The user can select the focal item from a list of potential focal items. Therefore there is provided an input field for selecting the focal item*).

Allowable Subject Matter

Claims 13, 31, and 44 are objected to as being dependent upon a rejected base claim, but would be allowable if rewritten in independent form including all of the limitations of the base claim and any intervening claims.

Conclusion

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Nicholas S. Ulrich whose telephone number is 571-270-1397. The examiner can normally be reached on M-TH 9:00 - 5:00 EST.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Kristine Kincaid can be reached on 571-272-4063. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

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Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

Nicholas Ulrich

3/18/2007

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TADESSE HAILU

Patent Examiner